



Consolidated Section 3 Awardee Reporting Form

You are receiving this Form because your company/organization/municipality received federal HUD funds through New York State Homes & Community Renewal (NYSHCR) for a housing construction/rehabilitation or public works project that is required to follow federal Section 3 requirements. This means that greatest extent feasible efforts must be made to provide employment, training and economic opportunities to low-income individuals and those companies that hire or are owned by them, particularly in the area where the project is located.

Projects that must comply with Section 3 requirements are those that:

- Are housing construction or rehabilitation or other public works projects, and
- Use or will use more than \$200,000 in HUD funding (e.g. HOME, CDBG, federal Housing Trust Fund) for one project;

If you believe you are not a Section 3 Project, provide explanation in the space below and reach out to your New York State Homes and Community Renewal (NYSHCR) program representative.

NOTE: YOU MUST COMPLETE THE INFORMATION BELOW FOR YOUR COMPANY, THE GENERAL CONTRACTOR AND ALL THE SUBCONTRACTORS THAT WORK/ED ON THE PROJECT (the "Subs"). Use this Form to consolidate the labor hours and Section 3 Worker Hours reported to you by your Subs through the "Sub Reporting Form and Greatest Extent Feasible Checklist" or other applicable mechanism. **EMAIL ALL SUPPORTING DOCUMENTATION TO: Section3MWBE@hcr.ny.gov.**

NOTE: Materials Supply contracts and Professional Services contracts can be excluded from Section 3 reporting requirements. HOWEVER, you are able to count hours for any Section 3 Worker that provides Professional Services without counting their hours in the Total Labor Hours, which may increase Section 3 Worker percentages.

Further information and guidance on completing this form can be found in the NYSHCR Section 3 Policy Manual here: <https://hcr.ny.gov/section-3-compliance#policy-manual>

A PDF version of this form can be found here BUT HCR will only accept submission of this online version of the form: <https://hcr.ny.gov/S3SampleAwardeeReportingForm>. BEST PRACTICE IS TO WORK ON THE REPORT OFF THE PDF LOCALLY ON YOUR COMPUTER IN A WORD DOCUMENT. INPUT THE FIELDS ONLINE IN ONE SESSION.

HCR reserves the right to request additional information about the Project's Section 3 compliance.

DEFINITIONS

Section 3 Workers are workers who currently fit, or when hired within the past five years, fit at least one of the following criteria:

- Low- or very low-income
- Employed by a Section 3 business concern
- DOL YouthBuild participant

Targeted Section 3 Workers are workers who currently meet, or when hired within the past five years, met at least one of the following criteria:

- Low- or very low-income persons residing within the neighborhood or service area of the project
 - Neighborhood service area: A one-mile radius of project site, or if fewer than 5,000 people, an expanded circle centered on project that contains 5,000+ people
- Employed by a Section 3 business concern
- DOL YouthBuild participant

The Section 3 Benchmark Goals for Section 3 Workers:

- 25% of total labor hours should be worked by Section 3 workers; including
- 5% of total labor hours should be worked by Targeted Section 3 workers

* Required

RECIPIENT INFORMATION

1. Reporting Entity/Awardee of HUD Funds: *

Awardee is the entity that received HUD funds through New York State Homes & Community Renewal

2. Awardee Address/Phone/Email * *

3. Section 3 Coordinator for Awardee: *

4. Section 3 Coordinator Phone (w/area code): *

5. Section 3 Coordinator Email *

PROJECT IDENTIFICATION

6. This Company is the following for the Project/funds (check all that apply): *

- ☐ Owner
- ☐ Developer
- ☐ Municipality or Other Local Govt
- ☐ Non-Profit
- ☐ Local administrator for HOME funds
- ☐ Other

7. Project Name, if applicable:

8. Street Address of Project *



9. City/Town/Municipality of Project *

10. County of Project *

11. NYSHCR Project ID/SHARS# or CDBG Contract Number:

12. Enter 1 paragraph short description of the project. *

13. **Start of Project**: Approximate date that HUD funds (e.g., HOME, CDBG, federal HTF) were committed for the specific Section 3 Project that is the subject of this report. For example, the construction closing date for federal HTF funds used for an affordable housing project OR the date the contract was finalized between a municipality and NYSHCR for CDBG funds. *



14. This Report reflects Section 3 compliance for the following Reporting Period: *

- ☐ Start of Project through June 30 (Mid-Year Report)
- ☐ Start of Project through Dec. 31 (Year-End Report)
- ☐ Start of Project through End of Project (Final Report)
- ☐ Other

15. Date of Completion of Project (Anticipated or Actual): *



16. HUD Funding Source: *

☐ CDBG (Community Development Block Grant)

☐ HOME Investment Partnerships Program

☐ Federal Housing Trust Fund

☐ Other

17. Dollar (\$) Amount of NYSHCR-administered HUD Funds in the Project (e.g., CDBG, HOME, federal HTF): *

18. Section 3 applicability is determined at the project level. Confirm that Section 3 applies to this award because ALL of the following are met:

1. We were awarded more than \$200,000 in HUD funds (CDBG, HOME or federal HTF),
2. A project within this award has or will use over \$200,000 in those HUD funds, AND
3. The HUD funds will be used for housing construction, rehabilitation or public works activities.

If you do not think Section 3 applies to your award, explain why below. For example, your entity might have received over \$200,000 in HUD funds, but no single project (like a private home rehab) will use more than \$200,000 in those HUD funds. If all 3 conditions (and Section 3) applies, enter "Section 3 applies" below.

*

19. Do all 3 conditions apply to your award of HUD funds? *

- ☐ Yes. Section 3 applies. Continue completing form.
- ☐ No. One of the conditions above is not met. Form will skip to the end. Plz add explanation in narrative field.
- ☐ Other

20. Have any Labor Hours been performed on this Project? *

- ☐ Yes, the project has started.
- ☐ No, not yet. Form will skip to end. Plz add explanation and timeline in narrative field.

21. Have there been any additional labor hours performed on the project since the last time you completed this reporting form? *

☐ Yes. (Continue completing form)

☐ This is the first time we are reporting Section 3 activity for this award. (Continue completing form)

☐ No. Form will skip to End. Plz add explanation in narrative field.

☐ Other

CONTRACTORS AND SUBCONTRACTORS

22. List all Subawardees (if any), contractors and subcontractors that have worked on the Project:

*

23. Confirm that all these subawardees, contractors and subcontractors have submitted a Section 3 Sub Reporting Form to Awardee (the entity completing this form), which this electronic Form now consolidates. Email the Sub Reporting Forms to Section3MWBE@hcr.ny.gov (subject = Name of Project) *

☐ Yes. Confirmed.

☐ No.

☐ Other

24. List any Section 3 Businesses contracted/subcontracted on this Project (Name, Location, Contact Information, Date of Contract and Type of Work performed). *

25. For any Section 3 Businesses listed above, confirm that Section 3 Business Certifications were collected upon contract-signing with the Section 3 Business. Email the Certifications to Section3MWBE@hcr.ny.gov. Certification Forms available here: <https://hcr.ny.gov/S3BusinessSelfCert> *

- ☐ Yes. Confirmed.
- ☐ No.
- ☐ Not applicable. No Section 3 Businesses worked on Project.
- ☐ Other

BENCHMARK GOALS AND SAFE HARBOR

Enter the Section 3 performance metrics for the Project since the Start of the Project for the reporting period (mid-year, year-end or final report). All Section 3 reporting is cumulative from the Start of Project. If Projects meet the Benchmark Goals described below, they can take advantage of the Safe Harbor and do not have to provide narratives and documentation supporting Greatest Extent Feasible Efforts made.

26. Does this Report include, as required, the Section 3 performance of Awardee (the reporting entity) and all sub-awardees (if any), contractors and subcontractors who have done any work on the Project? *

☐ Yes

☐ No

☐ Other

27. Total Labor Hours worked on Project by Awardee and ALL subawardees (if any), contractors and subcontractors that work or worked on the Project since the Start of the Project: *

(Total Labor Hours do NOT include hours worked by Professional Services Providers, which are non-construction services that require an advanced degree or professional licensing, including, but not limited to, contracts for legal services, financial consulting, accounting services, environmental assessment, architectural services, and civil engineering services))

28. Section 3 Worker Hours: Total Labor Hours worked by Section 3 Workers. Benchmark Goal is 25% of Total Labor Hours worked on Project. *

A Section 3 Worker is an individual employed by Awardee or its Subs who works on the Section 3 Project and who currently fits, or when hired within the past 5 years fit, at least one of the following criteria, as documented:

- Their income for the previous or annualized calendar year is categorized as low-income (80% AMI or less);
 - Residents/recipients of the following benefits are likely to meet the low-income criteria: Medicaid – Public Assistance/TANF, SNAP/Food Stamps, Section 8-assisted housing, Public Housing.
- They are employed by a Section 3 Business (these are also Targeted Section 3 Workers); or
- They are a YouthBuild participant (these are also Targeted Section 3 Workers).

BONUS OPPORTUNITY: If there are Section 3 Workers at a Professional Services company (either at Awardee or a contractor) that did work on the Project (e.g. junior accountants, architects, etc.) their work hours can be counted as a Section 3 Worker hours in this field while not counted in the Total Labor Hours, above. This may increase the Section 3 Worker hour percentages.

CONSOLIDATE ALL SECTION 3 WORKER CERTIFICATIONS (ALSO KNOWN AS THE "SECTION 3 HIRING FORM") SUPPORTING THIS NUMBER FOR NYSHCR/HUD INSPECTION.

29. What percentage of Total Labor Hours (#27) is Section 3 Worker Hours? Benchmark Goal is 25%. *

30. Did the Project meet the 25% Benchmark Goal for Section 3 Worker Hours for the reporting period? *

☐ Yes

☐ No

31. If the Project did NOT meet the 25% Section 3 Worker Benchmark Goal, explain why this was not possible. (Below, you will be asked about efforts taken to hire and contract to meet this benchmark goal). *

32. Targeted Section 3 Worker Hours: Total Labor Hours worked by Targeted Section 3 Workers. Benchmark Goal is 5% of Total Labor Hours. This 5% is part of the Section 3 Worker Hours. *

A Targeted Section 3 Worker is a Section 3 Worker who:

- Is employed by a Section 3 Business; or
- Currently fits or when hired within the last 5 years fit at least one of the following categories:
 - Lives within 1 mile of the Project or in areas where there are fewer than 5,000 people within 1 mile, an expanded circle around that Project that encompasses at least 5,000 people; or
 - A YouthBuild participant.

33. What percentage of Total Labor Hours (#27) are the Targeted Section 3 Worker Hours? Benchmark Goal is 5% of Total Labor Hours. *

34. Did the Project meet the 5% Benchmark Goal for Targeted Section 3 Worker Hours? *

☐ Yes

☐ No

35. If the Project did NOT meet the 5% Targeted Section 3 Benchmark Goal, explain why this was not possible. (Below, you will be asked about efforts taken to hire and contract to meet this benchmark goal).

36. Did the Project meet BOTH Section 3 Benchmarks, above ? If no, Project can take advantage of the Safe Harbor and this form will skip the sections regarding Greatest Extent Feasible efforts taken by Awardee and Subs, and will take respondent to the final Certification Section). *

☐ Yes

☐ No

☐ Other

MANDATORY MINIMUM SECTION 3 REQUIREMENTS FOR PROJECTS THAT DID NOT MEET BENCHMARK GOALS

IF THE PROJECT DID NOT MEET THE BENCHMARK GOALS IN #30 & #34, ABOVE, YOU MUST COMPLETE THIS SECTION TO DEMONSTRATE GREATEST EXTENT FEASIBLE EFFORTS TO MEET SECTION 3 GOALS . **Documentation in support of each of these efforts MUST be emailed to Section3MWBE@hcr.ny.gov** (file sharing links like DropBox are OK). **Projects that met the Benchmark Goals can skip this section.**

37. Confirmation that the Mandatory Minimum Section 3 Requirements were completed on the Project for both Recipient, GC and all Subs. Check all that apply (Provide supporting documentation to Dinorah Santiago at Section3MWB@hcr.ny.gov (required)): *

- ☐ A. Designated Section 3 Coordinator.
- ☐ B. All Hiring and contracting for the Project (including by Subs) included prioritization for Section 3 Workers and Section 3 Businesses, consistent with other state and federal laws.
- ☐ C. Used Section 3 Contract Clause included on ALL contracts for this project.
- ☐ D. All Subs on Project completed Section 3 Sub-Reporting and Greatest Extent Feasible Checklist form.
- ☐ E. The Section 3 Hiring Form to verify workers' Section 3 status was utilized
- ☐ F. Business Certification forms for Section 3 Businesses were collected at contract signing for all Section 3 Businesses that worked on the Project
- ☐ G. Included this language on all solicitations/requests for contactors and subcontractors: "This is a HUD Section 3 project with contracting priorities for businesses that hire or are owned by low-income persons".
- ☐ H. Included this language on all job descriptions and job postings: "This is a HUD Section 3 project with hiring priorities for businesses that hire or are owned by low-income persons".
- ☐ I. Posted job opportunities on the New York State Job Bank.
- ☐ J. Notified NYS Career Centers about job opportunities at the Project..
- ☐ K. Notified closest YouthBuild programs about job opportunities at the Project..
- ☐ L. Contacted local Public Housing Authorities and/or Section 8 programs located in project area to post work opportunities on community bulletin boards and newsletters

opportunities on community bulletin boards and newsletters.

38. List the date(s) that job postings were posted on the New York State Job Bank, the entity/Sub that posted them and the job titles posted. Retain screenshots or email confirmations on file for HUD/NYSHCR inspection. *

39. List which YouthBuild, Public Housing Authorities and NYS Career Centers were notified, the date on which they were notified, the entity that notified them and the contents of the notifications (this is the "one-stop system referenced in Section 3 regulations). *

40. Space for Explanation (if necessary) if Project did not complete all the Mandatory Minimum Requirements:

HIRING - GREATEST EXTENT FEASIBLE EFFORTS

REQUIRED FOR PROJECTS THAT DIDN'T MEET THE BENCHMARK GOALS. Consolidate the activities completed by the Awardee and its Subs with respect to hiring and training and describe below. The information should be consolidated from the Sub Reporting & Greatest Extent Feasible Efforts Forms completed by the GC and Subs on the Project. Email supporting documentation/proof to Dinorah Santiago at Section3MWBE@hcr.ny.gov. Use of file sharing links like DropBox are approved.

41. (Consolidate answers in Section 4:A in the SubReporting Forms) Engaged in outreach efforts to generate job applicants who are Section 3 and Targeted Section 3 Workers. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

42. (Consolidate answers in Section 4:B in the SubReporting Forms) Provided direct on-the-job training (such as apprenticeships) for low-income individuals. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

43. (Consolidate answers in Section 4:C in the SubReporting Forms) Provided indirect training opportunities for low-income workers, such as arranging for, contracting for or paying tuition for offsite training for low-income workers. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

44. (Consolidate answers in Section 4:D in the SubReporting Forms) Provided technical assistance to help Section 3 workers compete for jobs (e.g., resume assistance, coaching). Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

45. (Consolidate answers in Section 4:E in the SubReporting Forms) Provided or connected low-income individuals with assistance in seeking employment including: drafting resumes, preparing for interviews, finding job opportunities, connecting individuals to job placement services. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

46. (Consolidate answers in Section 4:F in the SubReporting Forms) Held/attended as an employer one or more job fairs. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

47. (Consolidate answers in Section 4:G in the SubReporting Forms) Provided or connected potential Section 3 Workers to supportive services that can provide direct services or referrals. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

48. (Consolidate answers in Section 4:H in the SubReporting Forms) Provided or connected low-income individuals to services supporting work readiness and retention (for example, work readiness health screening, interview clothing, uniforms, test fees, transportation). Describe, including which entity carried these activities out, the dates, location and format. Provide documentation. *

49. (Consolidate answers in Section 4:I in the SubReporting Forms) Assisted low-income workers in finding/paying for childcare. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation. *

50. (Consolidate answers in Section 4:J in the SubReporting Forms) Provided assistance for low-income individuals to apply for/or attend community college or a four-year educational institution. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

51. (Consolidate answers in Section 4:K in the SubReporting Forms) Provided assistance for low-income individuals to apply for/or attend vocational or technical training. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

52. (Consolidate answers in Section 4:L in the SubReporting Forms) Assisted Section 3 workers to obtain financial literacy training and/or coaching. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

53. (Consolidate answers in Section 4:M in the SubReporting Forms) Provided or connected residents with training on computer or online technologies. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

54. (Consolidate answers in Section 4:N in the SubReporting Forms) OTHER GREATEST EXTENT FEASIBLE HIRING EFFORTS (describe which entity engaged in this activity, that nature of the activity and include dates and locations. Email supporting documentation to Section3MWBE@hcr.ny.gov.

CONTRACTING - GREATEST EXTENT FEASIBLE EFFORTS

REQUIRED FOR PROJECTS THAT DIDN'T MEET THE BENCHMARK GOALS. Consolidate the activities completed by the Awardee and its Subs with respect to hiring and training and describe below. The information should be consolidated from the Sub Reporting & Greatest Extent Feasible Efforts Forms completed by the GC and Subs on the Project. Email supporting documentation/proof to Dinorah Santiago at Section3MWBE@hcr.ny.gov. (use a dropbox or other file sharing platform for large files).

55. (Consolidate answers in Section 5:A in the SubReporting Forms) Engaged in outreach efforts to identify and secure bids from Section 3 Businesses. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

56. (Consolidate answers in Section 5:B in the SubReporting Forms) Provided technical assistance to help Section 3 Businesses understand and bid on contracts. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

57. (Consolidate answers in Section 5:C in the SubReporting Forms) Provided bonding assistance, guaranties, training and technical assistance on contracting procedures or other efforts to support viable bids from Section 3 Businesses. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

58. (Consolidate answers in Section 5:D in the SubReporting Forms) Divided contracts into smaller jobs to facilitate participation by Section 3 Businesses. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

59. (Consolidate answers in Section 5:E in the SubReporting Forms) Promoted use of and/or utilized business registries designed to create opportunities for disadvantaged and small businesses. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

60. (Consolidate answers in Section 5:F in the SubReporting Forms) Developed resources or sought out training to assist low-income/Section 3 Workers such as public/Section 8 housing residents interested in starting their own businesses to learn to prepare contracts, prepare taxes, and obtain licenses, bonding, and insurance. Describe, including which entity carried these activities out, the dates, location and format. Provide documentation.

61. (Consolidate answers in Section 5:G in the SubReporting Forms) OTHER CONTRACTING GREATEST EXTENT FEASIBLE EFFORTS (describe which entity engaged in this activity, that nature of the activity and include dates and locations. Email supporting documentation to Section3MWBE@hcr.ny.gov.

62. I certify that the information contained in this Reporting Form includes the Greatest Extent Feasible Efforts undertaken for the Project by Awardee, as well as all the General Contractor and all other contractors and subcontractors . *

☐ Yes

☐ No

63. I certify that all supporting documentation regarding the Greatest Extent Feasible efforts listed above and undertaken by Awardee and its Subs were emailed to Dinorah Santiago at Section3MWBE@hcr.ny.gov. *

☐ Yes

☐ No

64. ADDITIONAL SPACE FOR EXPLANATION (if necessary):

FINAL SECTION - CERTIFICATION

65. Narrative Field for explanatory information (example: why no additional Labor Hours since last reporting, why no Labor Hours yet, why you think Section 3 does not apply, etc.) *

66. I certify that Awardee and its Subs have taken, or in the case where work has not started, will take, the greatest extent feasible efforts to hire low-income individuals and contract with companies that hire or are owned by low-income individuals, particularly in the area/neighborhood surrounding the Project. *

- ☐ Yes
- ☐ NO
- ☐ Section 3 does not apply to this award
- ☐ Other

67. I certify that I am duly authorized by Awardee, listed above, to make certifications as to Section 3 compliance by Awardee, and that the information on this form and appended to is true and accurate.

Non-compliance with requirements of Section 3 may result in sanctions, penalties, termination of this contract for default and debarment or suspension from future HUD-assisted contracts.

Type name below as signature. *

68. Date of Signature *

69. Telephone Number and Email of Person Completing the Certification *

